



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/627,019	07/25/2003	Bhavna Bhatnagar	03226/503001; P8951	3673
32615	7590	09/12/2007		
OSHA LIANG L.L.P./SUN 1221 MCKINNEY, SUITE 2800 HOUSTON, TX 77010			EXAMINER LANIER, BENJAMIN E	
			ART UNIT 2132	PAPER NUMBER
			MAIL DATE 09/12/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/627,019	Applicant(s) BHATNAGAR ET AL.	
	Examiner Benjamin E. Lanier	Art Unit 2132	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 06 August 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-3, 8, 11-15, 17-19, 22 and 23 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-3, 8, 11-15, 17-19, 22 and 23 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Amendment

1. Applicant's amendment filed 12 March 2007 amends claims 1-3, 8, 11-14, 17-19, and 22.

Applicant's amendment has been fully considered and entered.

Election/Restrictions

2. Applicant's election without traverse of Species in the reply filed on 06 August 2007 is acknowledged.

Response to Arguments

3. Applicant's arguments, with respect to Yasala have been fully considered and are persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Narin, U.S. Publication No. 2004/0003251.

Allowable Subject Matter

4. The indicated allowability of claims 17, 23 is withdrawn in view of the newly discovered reference(s) to Narin, U.S. Publication No. 2004/0003251. Rejections based on the newly cited reference(s) follow.

Claim Rejections - 35 USC § 102

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Art Unit: 2132

6. Claims 1-3, 8, 11-15, 17-19, 22, 23 are rejected under 35 U.S.C. 102(e) as being anticipated by Narin, U.S. Publication No. 2004/0003251. Referring to claim 1, Narin discloses a domain-based trust establishment model wherein two corporation servers (Figure 11) establish a trust relationship ([0096]) by receiving and storing the public key certificates ([0104]) of the other corporation server in their trusted identity server lists (Figure 11 & [0097]), which meets the limitations of receiving a first certificate of a first server by a second server, storing said first certificate of said first server in a first trusted partner list accessible by said second server, receiving a second certificate of said second server by said first server, and storing said second certificate of said second server in a second trusted partner list accessible by said first server. This allows employees from company B to access content from company A, and visa versa, by submitting a request for content access along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of wherein access by a client to a resource associated with said first server is controlled as a function of said first trusted partner list.

Referring to claim 2, Narin discloses that regardless of which server contains the content, each user contacts the server in their own department to obtain a license to access the content ([0114]), which meets the limitation of determining an identity of said second server as a function of said authentication assertion reference. The user submits a license request, containing the identity certificate, to the DRM server ([0117]), which meets the limitation of initiating use of said resource by said client, wherein an authentication assertion reference is provided by said

Art Unit: 2132

client, sending an authentication request containing said first certificate of said first server to said second server. The DRM server determines whether the identity certificate was issued by a identity server in the trusted domain ([0117]), which meets the limitation of determining if said first certificate is contained in said first trusted partner list of said second server. If the identity certificate is in the trusted domain, a license is granted to the requestor (Figure 5A, 618), which meets the limitation of sending an authentication assertion indicating that the client has been authenticated from said second server to said first server when said first certificate is contained in said first trusted partner list of said second server. If the identity certificate is not in the trusted domain, then the license request is rejected ([0117] & Figure 5A, 614), which meets the limitation of sending an authentication assertion, indicating that said client has not been authenticated, from said second server to said first server when said first certificate is not contained in said first trusted partner list of said second server. This allows employees from company B to access content from company A, and visa versa, by submitting a request for content access along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of providing said resource to said client by said first server when said authentication assertion indicates that said client has been authenticated.

Referring to claim 3, Narin discloses that the clients login to the servers with a user-id and password scheme ([0058]), which meets the limitation of logging-on to said second server by said client, and authenticating said client by said second server.

Referring to claim 8, Narin discloses a domain-based trust establishment model wherein two corporation servers (Figure 11) establish a trust relationship ([0096]) by receiving and storing the public key certificates ([0104]) of the other corporation server in their trusted identity server lists (Figure 11 & [0097]). Regardless of which server contains the content, each user contacts the server in their own department to obtain a license to access the content ([0114]), which meets the limitation of determining an identity said issuing server as a function of said authentication assertion reference. The user submits a license request, containing the identity certificate, to the DRM server ([0117]), which meets the limitation of initiating use of a resource associated with a relying server by a client, wherein an authentication assertion reference is provided by said client to said relying server, and wherein said authentication assertion reference is provided to said client by an issuing server. The DRM server determines whether the identity certificate was issued by a identity server in the trusted domain ([0117]), which meets the limitation of determining if said certificate is contained in a trusted partner list of said issuing server. If the identity certificate is in the trusted domain, a license is granted to the requestor (Figure 5A, 618), which meets the limitation of sending an authentication assertion indicating that the client has been authenticated from said issuing server to said relying server when said certificate is contained in said trusted partner list of said issuing server. If the identity certificate is not in the trusted domain, then the license request is rejected ([0117] & Figure 5A, 614), which meets the limitation of sending an authentication assertion, indicating that said client has not been authenticated, from said issuing server to said relying server when said certificate is not contained in said trusted partner list of said issuing server. This allows employees from company B to access content from company A, and visa versa, by submitting a request for content access

Art Unit: 2132

along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of providing said resource to said client by said relying server when said authentication assertion indicates that said client has been authenticated.

Referring to claim 11, Narin discloses that the clients login to the servers with a user-id and password scheme ([0058]), which meets the limitation of logging-on to said issuing server by said client, and authenticating said client by said issuing server.

Referring to claim 12, Narin discloses a domain-based trust establishment model wherein two corporation servers (Figure 11) establish a trust relationship ([0096]) by receiving and storing the public key certificates ([0104]) of the other corporation server in their trusted identity server lists (Figure 11 & [0097]), which meets the limitations of a first server, a first administration module, a first trusted partner list communicatively coupled to said first administration module, a second server, a second administration module, a second trusted partner list communicatively coupled to said second administration module. This allows employees from company B to access content from company A, and visa versa, by submitting a request for content access along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of wherein access by a client to a resource associated with said first server is controlled as a function of said first trusted partner list.

Referring to claims 13-15, Narin discloses that this allows employees from company B to access content from company A, and visa versa, by submitting a request for content access along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of said first administration module receives a credential of said second server, said first administration module stores said credential of said second server in said first trusted partner list, said credential comprises a certificate.

Referring to claim 17, Narin discloses a domain-based trust establishment model wherein two corporation servers (Figure 11) establish a trust relationship ([0096]) by receiving and storing the public key certificates ([0104]) of the other corporation server in their trusted identity server lists (Figure 11 & [0097]). This allows employees from company B to access content from company A, and visa versa, by submitting a request for content access along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of said client, said first server communicatively coupled to said client and said second server, wherein said first server further comprises a first session module, a first authentication module, and said second server communicatively coupled to said client and said first server, wherein said second server further comprises, a second session module, and a second authentication module.

Art Unit: 2132

Referring to claims 18, 19, 22, Narin discloses that this allows employees from company B to access content from company A, and visa versa, by submitting a request for content access along with the employee's identity certificate, which includes the company's public key certificate, to the other company's DRM server such that the DRM server compares the received public key certificate with the public key certificates stored in the trusted identity server list ([0095] & [0098]), which meets the limitation of said second session module determines an identity of said first server as a function of an authentication assertion reference received from said client, said first session module determines a trusted status of said second server as a function of a certificate received from said second session module, said first session module provides for secure transfer of information for authenticating said client.

Referring to claim 23, Narin discloses utilizing the SOAP environment for communications ([0051]), which meets the limitation of said first session module generates and processes SAML request and assertions contained in SOAP envelopes.


Conclusion

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Benjamin E. Lanier whose telephone number is 571-272-3805. The examiner can normally be reached on M-Th 6:00am-4:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2132

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



Benjamin E. Lanier